



**U.S. Customs and  
Border Protection**

August 08, 2014

TO: Vendors under DHS Strategic Sourcing Vehicle - Financial Management and Reporting Support Services (FMRSS) BPA

SUBJECT: Request for Quotation (RFQ) # HSBP20080853 Investment Management and OIT Budget Planning Services

Dear Sir/Madam:

In accordance with the requirements prescribed in the enclosed Performance Work Statement (Attachment #1), the U.S. Customs and Border Protection (CBP) requests a Firm Fixed Price (FFP) quote for Investment Management and OIT Budget Planning Services under the terms and conditions of your FMRSS BPA.

CBP intends to issue a task order against the subject BPA with one (1) 12-month Base Year and two (2) 12-month Option Years to the offeror whose quote provides the best value to the Government. CBP anticipates awarding a Firm Fixed Price (FFP) task order off of the list of labor categories on the Pricing Template (Attachment #3).

The Performance Work Statement (Attachment #1) describes the requirement. Instructions to Offerors (Attachment #2) provides proposal instructions and applicable evaluation criteria. Pricing Template (Attachment # 3) provides the pricing structure required for this RFQ. Past performance information needs to be provided in accordance with the proposal instructions and Past Performance Questionnaire (Attachment #4) via third party. Attachment #5 lists applicable contract clauses in addition to the subject BPA clauses.

Your quote is due by return email to (b) (6) and myself at (b) (6) no later than 3:00 PM ET, Thursday, August 21, 2014.

Questions concerning this solicitation should be directed to (b) (6) and myself by 3:00 PM ET, Tuesday, August 12, 2014.

The subject RFQ does not constitute authorization to proceed with the work. Work authorization will be issued only after the task order is properly awarded under the selected contractor's BPA. CBP reserves the right to not award any task order and does not guarantee any order placements.

Sincerely,

(b) (6)

Earl J. Lewis III  
Contracting Officer  
U.S. Customs and Border Protection

Enclosures:

1. Performance Work Statement (Attachment #1)
2. Instructions to Offerors (Attachment #2)
3. Pricing Template (Attachment #3)
4. Past Performance Questionnaire (Attachment #4: to be completed by offeror's references)
5. Contract Clauses (Attachment #5)

## **Investment Management and OIT Budget Planning Services**

### **Performance Work Statement (PWS)**

#### **1. Background**

The U.S. Customs and Border Protection (CBP), a component of the Department of Homeland Security (DHS), has an investment-driven approach to managing Information Technology (IT) and non-IT capital investments. This approach, which is consistent with the DHS Capital Planning and Investment Control (CPIC) policy and procedures and with the policies of the Office of Management and Budget (OMB) contained in such documents as OMB Circular A-11, enables CBP to invest its funds more effectively and to monitor its investments at all stages of development and deployment. CBP manages the acquisition lifecycle of all investments consistent with the DHS Acquisition Review Process (ARP) under DHS Directive 102-01. Together, CPIC and ARP are managed within CBP under the CBP Program Lifecycle Process (PLP). The PLP aligns investments to the enterprise architecture, as required, and to the requirements of the individual business offices' processes and strategy.

The PLP is a formalized, business-driven approach to selecting, controlling and evaluating investments with specific project evaluation criteria regarding risk management, strategic alignment, mission effectiveness, and cost-benefit analysis. This structured process provides a systematic method for minimizing risks while maximizing return on investments.

The PLP, while formalized and structured, is also a dynamic process capable of changing to meet the needs and requirements of the CBP, DHS, and OMB. The CBP PLP has four CPIC phases. These are: Pre-Select, when an initial judgment is made on a project's value; Select, when a project is planned and initiated; Control, when a project's plans are completed and the project is deployed; and Evaluate, when the deployed project is operationally maintained. The CBP PLP also names these phases according to their DHS ARP equivalents – Need, Analyze/Select, Obtain, and Produce/Deploy/Support.

The Pre-Select Phase uses a Mission Needs Statement as the primary documentation for project review by the Office of Technology and Innovation (OTIA), the Enterprise Architecture Review Board (EARB), and the CBP Governance Board (CGB). Upon approval by the appropriate board, a funded project moves to the Select Phase and, if it meets the DHS definition of a Major project, the project office must prepare an OMB Exhibit 300. The OMB Exhibit 300 is part of the DHS budget submission and must meet specific scoring criteria to be accepted by OMB. Projects moving through the Select Phase to the Control and Evaluate Phases are also subject to review by various DHS bodies, including the DHS Joint Requirements Council (JRC) and the DHS Investment Review Board (IRB).

It has become increasingly important over the past years for OIT to better align IT reporting in Investment Management System (IMS), Next Generation Periodic Reporting System (nPRS), Future Years Homeland Security Program (FYHSP), etc. with CBP's internal budget planning processes; and, in particular, CBP's BFX planning tool. CBP/OIT must take steps to ensure that the CBP/OIT story is consistent throughout the processes that use these tools. CBP/OIT needs to be more conscious and deliberate about when, where, and how, dollars are aligned; and, equally important, where budget reductions through the Resource Allocation Plan (RAP), Resource Allocation Decision (RAD), and Passback processes are reflected. In the current tight fiscal climate, CBP/OIT needs to provide and ensure transparency in where and how the IT dollars expended deliver operational capability to meet front-line mission needs. As well, CBP/OIT needs to articulate the mission impact of any proposed efficiency across the entire CBP IT portfolio (on dollars held within and outside of OIT).

CBP's budget formulation process varies over the years; however, direction is provided by both the Office of Program Development during the resource allocation planning process, and the Office of Administration in finalizing the narrative for the Congressional Budget submission. Therefore, updates to work in BFX, need to convey and align to what is stated in major and non-major reporting, ensuring that dollars and outcomes are aligned. As the fiscal environment remains constrained, it is critical that OIT be able to justify the mission outcomes, as well as increase transparency in where and how the IT infrastructure and funding directly support all CBP mission outcomes.

## **2. Scope**

This requirement is for a full range of financial planning and investment management support services to include investment management, CPIC coordination and OMB Exhibit 300/53 (business case) formulation assistance, review and submission; as well as enhancing and bringing best practices to OIT's budget formulation, planning, and reporting, to bring more visibility and transparency into how the dollars are being spent to support the CBP mission. In addition, the requirement includes support services for monthly review, and assistance for the reporting on the major investments through the DHS periodic reporting tools.

## **3. Applicable Documents**

- OMB Circular A-11
- DHS Directive 102-01
- CBP PLP Guide
- U.S. CBP Security Policies and Procedures Handbook CIS HB 1400-05B
- DHS Life-Cycle CPIC Guidance
- DHS Guidance on the Privacy Impact Assessment
- DHS Mission Needs Statement (MNS) template and instructions
- DHS Program Management Plan
- DHS Management Directive 1330 Planning, Programming, Budget and Execution

- Federal Enterprise Architecture (FEA) Reference Models
- CBP Systems Development Life Cycle Handbook
- Customs Directive No. 51715-006 Separation Procedures for Contractor Employees (CF-242)
- CBP/Office of Administration (OA), Office of Program Development (OPD), and other external Budget Formulation processes

#### **4. Performance Objectives**

The overall objective is to improve program compliance with CPIC, the Acquisition Review Process (ARP) guidance from DHS and CBP, the RAP guidance from the Department; the overall scores of the OMB 300s/53s for both IT and non-IT investments at all levels, the transition to Agile project management values, principals, and methodologies, and the quality and timeliness of monthly reporting on these investments for the purpose of sound investment decision-making. This effort also includes enhanced visibility and communication of how the OIT budget supports the operational mission outcomes.

The Performance Requirements Summary (PRS) is available in Addendum A. Performance metrics will be tracked using a variety of other metrics to include the OMB 300/53 scores, notwithstanding program-related issues, and customer satisfaction interviews.

Common for All Objectives: The Contractor shall respond to all questions from program offices in a timely manner. The Contractor shall retain as much of their initial staffing as possible during the Period of Performance of this task order.

##### **4.1 Objective 1: Investment Management Process Coordination**

4.1.1 The Contractor shall analyze and review IT and non-IT initiatives through all phases of the CBP PLP and the DHS ARP/CPIC processes for the purpose of ensuring consistency and accuracy of documentation and to facilitate information sharing.

Standard: All contractor conclusions / recommendations are supported by thorough analysis, and are complete, comprehensive and suitable to support government decision making needs.

4.1.2 The Contractor shall ensure proper documentation and record keeping, review investment process documentation, maintain the CBP IT and non-IT investment data in the Investment Management System (IMS), review cost-benefit analysis and performance measures, and coordinate the documentation requirements of the various CBP PLP and DHS ARP/CPIC management bodies.

Standard 1: Reviews/audits accurately reflect applicable regulatory and policy guidance (OMB, DHS, and CBP) and contractor effectively communicates submission requirements to the program offices.

Standard 2: Process documentation accurately reflects applicable regulatory and policy guidance (OMB, DHS, and CBP).

Standard 3: Internal record database is kept current and records are available to support government decision making needs.

#### 4.2 Objective 2: Business Case Support

4.2.1 The Contractor shall assist in the preparation of business cases (OMB Exhibit 300s) for both major IT investments and major non-IT capital assets for the purpose of improving overall scores. This includes providing assistance to projects in explaining within the Exhibit 300: their project planning, alternatives analysis, cost-benefit analysis, risk management plan, system architecture, security and privacy, acquisition strategy, performance measurement baseline, and full life cycle requirements. This assistance shall not require full completion, from start to finish, of the Exhibit 300 by the contractor; but shall be comprehensive to allow the program/project manager or program office staff to successfully complete their own Exhibit 300. Application of Agile project management methodologies may be applicable. Although support to CBP program offices is more related to oversight and guidance, the contractor shall coordinate annual updates to the OIT OMB Exhibit 300 for IT infrastructure with representatives among the following OIT organizations: Enterprise Network and Technology Solutions Directorate, Enterprise Data Management and Engineering Directorate, and the Field Support Directorate. Support to other OIT IT investments may be provided, when/as needed.

Standard: Information and knowledge provided is clear, useful for recipient performance and accurately reflects applicable regulatory and policy guidance (OMB, DHS, and CBP). Recommendations are made to offices' 300s supporting how OIT's base traces from the 300s back to the CBP IT submission and budget in CBP's BFX, and vice versa.

4.2.2 The Contractor shall review and analyze business cases (OMB Exhibit 300s) to ensure that all sections are complete and accurate and contain sufficient relevant information to enable CBP and DHS management to make decisions that are directly tied to business goals.

Standard: Reviews/audits accurately reflect applicable regulatory and policy guidance (OMB, DHS, and CBP) and contractor effectively communicates review/audit findings and submission requirements to the program offices. Sections that are not complete, accurate, or lack sufficient relevant information are brought to the attention of the submitting office and guidance is given on improving or correcting the insufficient information.

4.2.3. The Contractor shall provide enterprise analysis to ensure consistency in documentation and presentation across projects. The Contractor shall coordinate all required documentation to provide the approving Boards/Committees with accurate and timely decision-making information.

Standard: All contractor conclusions/recommendations are supported by thorough analysis, and are complete, comprehensive, and suitable to support government decision making needs.

4.2.4 The Contractor shall assist Government projects in collecting project measurement and performance information in advance of actual business case development to ensure accurate and timely submissions. This may involve collecting project metrics, results, and measurement information.

Standard: Project measurement and performance information is complete, accurate, and suitable to support business case development.

#### 4.3 Objective 3: Budget Formulation and Planning

4.3.1 The Contractor shall assist CBP's budget planning processes via CBP's BFX, and to help ensure a consistent communication across various reporting requirements.

Standard: OIT is able to clearly articulate and defend how IT dollars are allocated. Contractor shall assist OIT with articulating how the dollars aligned in the BFX support CBP's IT infrastructure. Contractor shall help OIT use existing budget planning data to better articulate to OIT and CBP leadership the various segments and importance of OIT's budget such as infrastructure platform (mainframe /server/etc), mandatory/non-mandatory costs, etc. The budget numbers themselves do not enable leadership to clearly understand how the OIT dollars are enabling the mission. Contractor shall also assist with bringing consistency across OIT in how requirements are planned and executed.

4.3.2 The Contractor shall assist with helping OIT link IT spend to operational business outcomes, to help operators understand the value of IT to their current and future missions.

Standard: Clear and articulate displays of how CBP's IT budget supports CBP's operational outcomes via presentations that follow business practices to convey purpose and intent of funding, and how it directly supports operational outcomes. It may take the form of presentations for OIT, CBP, DHS leadership, as well as resource allocation modeling (allocation methods that help demonstrate the costs to deliver IT capabilities/services to the field; costs that better align IT spend to consumers of the specific service, etc.).

4.3.3 The Contractor shall work with OIT FMD and all OIT offices to enhance current budget planning and formulation efforts. The Contractor shall assist OIT in defining a recurring process to build and track budget planning efforts to bring greater visibility to baseline changes as systems, applications, and hardware are modernized/transformed to meet future business needs – in a manner that is consistent with CBP's BFX and line of business structure.

Standard: Implement recurring best practice to build and track budget planning efforts to bring greater visibility to baseline changes as systems, applications, and hardware are

modernized/transformed to meet future business needs – in a manner that is consistent with CBP's BFX and line of business structure.

4.3.4 The Contractor shall continue to help OIT tie funding to operational outcomes, and identify areas where CBP may achieve savings. Through assistance with IT budget planning, the Contractor shall help to identify and make recommendations to OIT/FMD – for presentation to OIT leadership - on where there may be opportunities for savings based on industry best practices.

Standard: Identify methods/processes through which OIT can better identify and make budget trade-off decisions for consideration and decision by OIT leadership on where there may be opportunities for savings based on industry best practices.

## **5. Deliveries and Delivery Schedule**

### **5.1 Monthly Status Report**

The Contractor shall submit a monthly status report to the Contracting Officer (CO) and Contracting Officer's Representative (COR) by the fifth business day of each month. The monthly status report shall address the functional accomplishments by project, issues, unresolved problems and a plan of action for resolving any problems identified. This report shall contain the following information:

- A cover letter with the Contractor's name and address, the contract number, the date of the report, and the period covered by the report;
- Significant changes, if any, to the Contractor's organization or method of operation;
- Description of significant events occurring during the reporting period;
- Status of the projects and other work efforts;
- Problem areas affecting technical, schedule, or cost elements of the contract, including background, impact and recommendations for resolution;
- All safety information regarding violations, injuries and resolution of previous safety issues using approved CBP forms;
- Results related to previously identified problem areas with conclusions and recommendations;
- Name and telephone number of the preparer of the report;
- Planned work assignments and desired results for the next reporting period;
- Anticipated upcoming leave for each contract employee.

### **5.2 Reports**

The Contractor shall submit reports, in the Contractor's format of document layout, no later than three business days after all meetings attended by the Contractor as well as when requested by the Government. These reports can cover such areas as:



- Trip reports
- Meeting minutes
- Scoring results, lessons learned
- Process improvement suggestions

### 5.3 OIT Budget to Mission Reporting

The contractor shall create a report, in the Contractor's choice of format that ties all OIT base budget to operational mission support. This report will be due after OIT's base formulation has been completed. The report will inform OIT leadership of the requirements and funding required by each OIT organization, to obtain final review/approval.

### 5.4 Staffing Plan

The Contractor shall submit a staffing plan with the quote, final due 10 business days after the kickoff meeting. The Staffing Plan shall clearly show how the Contractor will obtain the required staff to meet the Government's requirements as defined in the PWS. The Staffing Plan shall include the Contractor's overall approach to hire the required staff and to maintain adequate staff during the period of performance, and to ensure personnel are able to successfully pass a CBP Background Investigation (BI).

The staffing plan shall also include a detailed staffing matrix showing the following:

- Name of each Contractor personnel proposed by labor category and his/her key skills and qualifications.
- PWS Objective/Task Area Number.
- Company of the proposed Contractor Personnel (e.g., prime or Sub-contractor Company).
- Estimated start date for each proposed Contractor Personnel.
- Current Contractor Personnel CBP clearance status (e.g., already has CBP clearance or estimated date that the CBP BI package shall be submitted to the COR).
- Current hiring status of the proposed Contractor personnel (e.g., current employee of the Contractor, not a current employee of the Contractor but has signed an employment letter of intent, not a current employee of the Contractor and has not signed an employment letter of intent).

### 5.5 Transition On-Board Plan

The contractor shall plan for and support the smooth and effective transition onto the performance of this effort. The transition on will include the full range of plans and activities required to progress from award of contract to assumption of full performance responsibility as quickly as possible. The plan shall be submitted as part of the proposal, final due 10 business days after the kick-off meeting. Included in transition on-board are the following key activities:

- Submit security information packages as required for all contractor employees assigned to contract performance.
- Complete all DHS and CBP in-processing requirements (to include security, facility access/badges, IT equipment assignment, on-board training, IT system access, and workspace assignment.)
- Review all Government provided work-in-progress and develop plans for completion of this unfinished work effort making maximum use of completed work where practical.
- Review any work plans and projections to determine the extent to which any of the plans or projections can be used in the formation of planning for the execution of the current effort.
- Develop and maintain a transition on-board plan that includes a detailed time-phased list of key activities, events, and tasks.
- Submit Transition On-Board bi-weekly reports to the COR on progress toward completing the transition on-board. Report to the COR when transition on-board is complete; anticipated no later than four months after award.

#### 5.6 Transition Out Plan

The contractor shall plan for and support an orderly and efficient transition off the contract beginning at the direction of the COR (approximately three months prior to the end of the period of performance). The transition-out will include the full range of plans and activities required to bring the contracted work effort to logical completion where possible and record the status of any and all work-in-progress that will be delivered to the Government for use at the Government's discretion. The Transition Out Plan shall be submitted three months prior to the end of the period of performance. The transition out support includes, but is not limited to, the following key activities:

- All contractor personnel out-processing from CBP (to include security de-briefs as needed, facility badges and access, IT equipment returns, and return of all GFI and files (electronic or otherwise)).
- Develop and maintain a transition-out plan to include time-phased list of key events, activities, and tasks.
- Develop and deliver a summary of all work-in-progress activities and projects. This will include any technical documents developed, delivered, and maintained during the performance of work under this contract.
- Advice and consultation to the Government team on all work-in-progress, unfinished projects, and future plans/projections.
- Participation in exit interviews as deemed appropriate by the COR.
- Submit Transition Out bi-weekly reports to the COR on progress toward completing the transition out tasks. Report to the COR when transition out is complete.

### 5.7 Quality Control Plan (QCP)

The contractor shall develop and maintain an effective Quality Control Plan (QCP) to ensure services are performed in accordance with performance objectives and at the highest level of quality standards. The plan shall be submitted as part of the proposal, final due 10 business days after the kick-off meeting.

### 5.8 Report Formats

All reports shall be delivered in softcopy electronic format. Softcopies shall be delivered utilizing Microsoft Office 2003 (or later version) file format. The Contractor shall submit all reports electronically. In the event the government's electronic mail system is unavailable or not accessible due to a system malfunction, the Contractor shall submit all reports in print format to be followed with an electronically transmitted copy as soon as the electronic mail system becomes available.

### 5.9 Reporting Requirements

<b>PWS REFERENCE</b>	<b>DELIVERABLE TITLE</b>	<b>DELIVERY DATE</b>
Paragraph 5.1	Monthly Status Report	By the 5 <sup>th</sup> business day of each month.
Paragraph 5.2	Reports	As required, but no later than 3 business days after the date of the meeting.
Paragraph 5.3	OIT Budget to Mission Reporting	As required.
Paragraph 5.4	Staffing Plan	Submitted as part of the quote; final due 10 business days after the kick-off meeting.
Paragraph 5.5	Transition On-Board Plan	Submitted as part of the quote, final due 10 business days after the kick-off meeting.
Paragraph 5.5	Transition On-Board Bi-weekly Report	Submitted bi-weekly after COR acceptance of the transition on-board plan.
Paragraph 5.6	Transition Out Plan	Submitted three months prior to the end of the period of performance.
Paragraph 5.6	Transition Out Bi-weekly Report	Submitted bi-weekly after COR acceptance of the transition out plan.
Paragraph 5.7	Quality Control Plan	Submitted as part of the quote, final due 10 business days after the kick-off meeting.

Table 2: Reporting Requirements

### 5.10 Acceptance Criteria

The Government reserves the right to reject any deliverable based on defects with respect to completeness, correctness, clarity, and consistencies. In the event of a rejection of any deliverable, the COR will notify the contractor within three (3) business days of the receipt of the deliverable of any deficiencies to be corrected. The contractor shall have three (3) business days to correct the deficiencies.

- **Accuracy** - Deliverables shall be accurate in presentation, technical content, and adherence to accepted elements of style. All deliverables shall conform to appropriate CBP or DHS Directives or OMB circulars.
- **Clarity** - Deliverables shall be clear and concise; engineering terms shall be used, as appropriate. All diagrams shall be easy to understand and relevant to the supporting narrative.
- **Specifications Validity** - All Deliverables shall satisfy the requirements of the Government as specified herein.
- **File Editing** - All text and diagrammatic files shall be editable by the Government.
- **Timeliness** - Deliverables shall be submitted on or before the due date specified in this contract.

### 6. Place of Performance

6.1 Work shall generally be performed at CBP locations within the National Capital Region and Northern Virginia. Exceptions may be allowed with consent from the COR for specific tasks. No off-site work in excess of eight hours per week shall be performed without organization approval along with the COR.

6.2 Any travel, if required, shall be in accordance with the Federal Travel Regulations. Contractor personnel working at a government site for any length of time will not normally be paid local travel costs between facilities in the local campus area. Local travel costs may, in some cases, be allowed if an advance request is made to the COR. Examples include metro rail and parking fees for meetings occurring outside the performance area. There is no anticipated non-local travel.

6.3 There are no other direct costs anticipated.

### 7. Period of Performance

7.1 The period of performance is as follows:

Base Period: September 24, 2014 – September 23, 2015 (12 Months)

Option Period 1: September 24, 2015 – September 23, 2016 (12 Months)

Option Period 2: September 24, 2016 – September 23, 2017 (12 Months)

The standard workday shall be a nominal eight-hour day (excluding lunch time), worked between the hours of 7:00 a.m. and 6:00 p.m., Monday through Friday. Exceptions to the eight-hour workday may be allowed, with consent from the COR.

## 7.2 Holidays and Administrative Leave

CBP personnel observe the following days as holidays:

New Year's Day,	Labor Day
Martin Luther King's Birthday,	Columbus Day
Presidents' Day,	Veterans Day
Memorial Day,	Thanksgiving Day
Independence Day,	Christmas Day

Any other day designated by Federal statute, by Executive Order or by the President's proclamation.

## 8. Government Furnished Equipment and Information

### 8.1 Government Furnished Equipment

The Government will supply all required computer equipment, furniture and office space required to perform these requirements for on-site personnel. All work shall occur on government provided equipment and through government provided electronic mail accounts and systems where applicable.

### 8.2 Government Furnished Information

The Government will furnish applicable program/project documents required to perform these requirements after contract award.

## 9. Constraints

9.1 Program and Policy documentation listed in Applicable Documents and the Government Furnished Information Section are constraints to this PWS.

9.2 Contractor shall ensure that assigned personnel are skilled in the use of Microsoft Access, Excel, Word, and PowerPoint.

9.3 Security Requirements.

All work is UNCLASSIFIED.

The Contractor shall comply with the CBP administrative, physical and technical security controls to ensure that the Government's security requirements are met. During the course of this contract, the Contractor shall not use, disclose, or reproduce data, which bears a restrictive legend, other than as required in the performance of this contract.

#### 9.4 Personnel Security Background Data

All personnel employed by the Contractor and/or responsible to the Contractor for work performed hereunder shall either currently possess or be able to favorably pass a full field five (5) year background investigation required by CBP policies and procedures for employment prior to beginning work with CBP. This policy applies to any new personnel hired as replacement(s) during the term of this agreement.

The Contractor shall submit within ten (10) business days after contract award:

- A list containing the full name, social security number, and date of birth of those people who will require background investigation by CBP, and
- Such additional information and documentation as may be required by the Government to have a background investigation performed

The information must be correct and reviewed by the designated CBP Security Official for completeness. Normally, information requested for a background investigation consists of SF-85P, "Questionnaire for Public Trust Positions" or SF-86, "Questionnaire for Sensitive Positions (For National Security)" TDF 67-32.5, "U.S. USCS Authorization for Release of Information", FD-258, "Fingerprint Chart" and a Financial Statement. Failure of any contract personnel to successfully pass a background investigation shall be cause for the candidate's dismissal from the project and replacement by a similar and equally qualified candidate as determined and approved by the CO/COR. This policy also applies to any personnel hired as replacements during the term of the agreement.

All background investigation forms must be accepted by CBP with verbal approval from a representative from CBP Office of Management Inspection and Integrity Assurance, Security Program Division (MIIA-SPD) before contract personnel can begin work. MIIA-SPD estimates these procedures will take approximately ten (10) days from the time they receive the packet. The COR will approve when any personnel can begin work after the background investigation forms have been accepted. Typically the COR authorizes work to begin upon the issuance of a limited BI, under which a contractor may be given certain building access and computer-related equipment/accesses. Other full accesses cannot be granted until a full background investigation is complete. Currently, completion of background investigations is taking approximately six (6) months from initial acceptance of the package.

The Contractor shall immediately notify the Project Manager/COR/CO of any personnel changes. Written approval and confirmation is required for phone notification. This includes, but is not limited to, resignations, terminations, and reassignments.

In accordance with Customs Directive No. 51715-006, "Separation Procedures for Contractor Employees (CF-242)" the Contractor is responsible for ensuring that contract employees separating from the agency complete the relevant portions of the CF-242. This requirement covers all Contract employees who depart while the contract is still active (including resignation, termination, etc.) or upon final completion of contracts. Failure of a contract to properly comply with these requirements shall be documented and considered when completing Contractor Performance Reports.

The Contractor shall notify the COR and CBP OIT Security and Technology Policy Branch (Program Integration Division) of any changes in access requirements for its personnel no later than one day after any personnel changes occur. This includes name changes, resignations, terminations, and transfers to another contract. The Contractor/Project Manager is responsible for the completion and timely submission to the COR of the CF-242 for all departing contract personnel. The Contractor shall provide OIT Information Systems Security Branch (ISSB) the following information on behalf of their contract personnel to telephone number (703) 921-6116 or fax the below information to (703) 921-6570:

Full Name  
Social Security Number  
Effective Date  
Reason for Change

All services provided under this agreement must be compliant with DHS Information Security Policy, identified in MD4300.1, Information Technology Systems Security Program and 4300A Sensitive Systems Handbook.

#### 9.5 Identification Badges

All Contractor employees shall be required to wear CBP issued identification badges at all times when working in Government facilities.

#### 9.6 General Security

All Government furnished information must be protected to the degree and extent required by local rules, regulations, and procedures. The Contractor shall conform to all security policies contained in the CBP Security Policies and Procedures Handbook, CIS HB 1400-05B.

#### 9.7 Contractor Employee Access

The Contractor shall comply with HSAR 3052.204-71, Contractor Employee Access, Sensitive Information and Alternate I.

#### 9.8 Additional Contractor Requirements

The Contractor shall ensure that its employees will identify themselves as employees of their respective company while working on CBP contracts. For example, Contractor personnel shall introduce themselves and sign attendance logs as employees of their respective companies, not as CBP employees. The Contractor shall ensure that their personnel use the following format signature on all official e-mails generated by CBP computers:

[Name]  
[Company Name]  
Supporting the XXX Division/Office...  
CBP  
[Phone]  
[Other contract information as desired]

#### 9.9 Non-Disclosure

Any information made available to the Contractor by the Government shall be used only for the purpose of carrying out the provisions of the contract and shall not be divulged or made known in any manner to any persons except as may be necessary in the performance of the task. All Contractor personnel shall be required to sign a Non-Disclosure statement.

#### 9.10 Limitations on Future Contracts

The CO has determined that this acquisition may give rise to a potential organizational conflict of interest (OCI), or may provide the offeror with the potential to attain an unfair competitive advantage. Accordingly, the attention of the offeror is invited to FAR Subpart 9.5 – Organizational Conflicts of Interest. The nature of this conflict is: Deliverable documents required under this contract may contain acquisition sensitive and source selection information. The OMB 300 reports contain an Acquisition Strategy section that may contain acquisition sensitive information that will be incorporated into requirements documents (i.e., statement of work (SOW)). Access to this type of information constitutes an Organizational Conflict of Interest relative to the program acquisition for which the OMB 300 report was developed.

The limitations on future contracting are as follows:

- (a) If, an actual, potential or perceived Organizational Conflict of Interest may arise through the performance of tasks pursuant to this contract, such as developing or accessing specifications or statements of work or source selection information that are to be incorporated into a solicitation, then award to the Contractor will be governed by the requirements in paragraphs (b), (c), (d), (e), and (f) of this provision.
- (b) If any such conflict of interest is found to exist, the CO may (1) disqualify the offeror, or (2) determine that it is otherwise in the best interest of the United States to contract with the offeror and include the appropriate provisions to mitigate or avoid such conflict in the contract awarded. After discussion with the offeror, the CO may determine that the



actual conflict of interest cannot be avoided, neutralized, mitigated or otherwise resolved to the satisfaction of the Government, and the offeror may be found ineligible for award.

(c) Disclosure: The offeror hereby represents, to the best of its knowledge that: (1) It is not aware of any facts which create any actual or potential organizational conflicts of interest relating to the award of this contract, or (2) It has included information in its proposal, providing all current information bearing on the existence of an actual or potential organizational conflict of interest, and has included the mitigation plan in accordance with paragraph (d) of this provision.

(d) Mitigation/Waiver. If the offeror with a potential or actual conflict of interest or unfair competitive advantage believes it can be mitigated, neutralized, or avoided, the offeror shall submit a mitigation plan to the Government for review. Award of a contract where an actual or potential conflict of interest exists shall not occur before Government approval of the mitigation plan. If a mitigation plan is approved, the restrictions of this provision do not apply to the extent defined in the mitigation plan. If not defined, then this provision applies fully.

(e) Other Relevant Information. In addition to the mitigation plan, the CO may require further relevant information from the offeror. The CO will use all information submitted by the offeror, and any other relevant information known to DHS, to determine whether an award to the offeror may take place, and whether the mitigation plan adequately neutralizes or mitigates the conflict.

9.11 Corporation Change. The Contractor shall inform the CO within thirty (30) calendar days of the effective date of any corporate mergers, acquisitions, and/or divestitures that may affect this provision.

### **Addenda**

- A – Performance Requirements Summary
- B – Acronym List
- C – Standard Clauses

**Addendum A: Performance Requirements Summary**

Performance Area, Task or Deliverable	Performance Standard	Acceptable Quality Level	Surveillance Method	Incentives (+ or -)
Common for all objectives: Timeliness				
Common For All Tasks: The Contractor shall respond to all questions from program offices in a timely manner (see PWS para 4)	All questions from program offices must be answered within one business day, or as agreed to if additional time is required.	100% of questions responded to within one business day, or as quickly as possible (keeping the PM informed).	Periodic customer satisfaction queries.	(+) Favorable customer satisfaction reviews and past performance feedback; Individual Letters of Appreciation.
Common for all objectives: Staff Retention				(-) Require corrective action plans and poor performance could lead to less than satisfactory past performance and to not receiving future work (exercise of options).
Common For All Tasks: The Contractor shall retain as much of their initial staffing as possible during the Period of Performance of this task order.	The staff attrition rate will be calculated based on the number of employees who left in a year divided by the number of employees who were employed in a year.	The attrition rate shall be less than 15% a year.	Every occurrence	
Objective 1: Investment Management Process Coordination				
Performance Area, Task or Deliverable	Performance Standard	Acceptable Quality Level	Surveillance Method	Incentives (+ or -)
Task 1: The Contractor shall analyze and review IT and non-IT initiatives through all phases of the CBP PLP and the DHS ARP/CPIC processes (see PWS para 4.1.1)	All contractor conclusions / recommendations are supported by thorough analysis, and are complete, comprehensive and suitable to support government decision making needs.	95% of recommended resolutions / advice / conclusions are consistent and compliant with regulatory and policy guidance. No investment decision during the performance period was delayed, deferred, or otherwise impacted due to the lack of comprehensive supportive analysis.	Monthly random reviews to verify consistency and compliance.	(+) Favorable customer satisfaction reviews and past performance feedback; Individual Letters of Appreciation.  (-) Require corrective action plans and poor performance could lead to less than satisfactory past performance and to not receiving future

Task 2: The Contractor shall ensure proper documentation and record keeping, review investment process documentation, maintain the CBP IT and non-IT investment data in IMS (see PWS para 4.1.2)	<p>1) Reviews/audits accurately reflect applicable regulatory and policy guidance (OMB, DHS, and CBP) and contractor effectively communicates submission requirements to the program offices.</p> <p>2) Process documentation accurately reflects applicable regulatory and policy guidance (OMB, DHS, and CBP).</p> <p>3) Internal record database is kept current and records are available to support government decision making needs.</p>	<p>1) 95% of reviews/audits are compliant with regulatory and policy guidance. OR, no discrepancies (major discrepancies) identified during independent audits or QC reviews due to failure to comply with current regulatory and/or policy guidance, notwithstanding program related issues.</p> <p>2) 95% of recommended improvements are consistent and compliant with regulatory and policy guidance.</p> <p>3) Internal record database is kept current on on-going basis</p>	Monthly reviews to verify consistency and compliance.	work (exercise of options).
Performance Area, Task or Deliverable	Performance Standard	Acceptable Quality Level	Surveillance Method	Incentives (+ or -)
<b>Objective 2: Business Case Support</b>				
Task 1: The Contractor shall assist in the preparation of business cases (OMB Exhibit 300s) for both major IT investments and major non-IT capital assets (see PWS para 4.2.1).	Information and knowledge provided is clear, useful for recipient performance and accurately reflects applicable regulatory and policy guidance (OMB, DHS, and CBP).	Support analysis / advice is 95% compliant with regulatory and policy guidance and effectively communicates submission requirements to the program offices. OMB 300 scores at the enterprise level (based on the sum of all reportable OMB Exhibit 300 and Exhibit 53	Periodic Feedback from Program Management Staff.	<p>(+) Favorable customer satisfaction reviews and past performance feedback; Individual Letters of Appreciation.</p> <p>(-) Require corrective action plans and poor performance could lead to less than satisfactory past performance and to</p>

		submissions) are improved by 3% annually, notwithstanding program related issues.		not receiving future work (exercise of options).
Performance Area, Task or Deliverable	Performance Standard	Acceptable Quality Level	Surveillance Method	Incentives (+ or -)
<b>Objective 2: Business Case Support (Continued)</b>				
Task 2: The Contractor shall review and analyze business cases (OMB Exhibit 300s) (see PWS para 4.2.2)	Reviews/audits accurately reflect applicable regulatory and policy guidance (OMB, DHS, and CBP) and contractor effectively communicates review/audit findings and submission requirements to the program offices. Sections that are not complete, accurate, or lack sufficient relevant information are brought to the attention of the submitting office and guidance is given on improving or correcting the insufficient information.	No discrepancies (major discrepancies) identified during independent audits or QC reviews due to failure to comply with current regulatory and/or policy guidance, notwithstanding program related issues.  100% of incomplete, inaccurate, or lacking sections are brought to the attention of the office that created the business case.	Monthly random reviews to verify consistency and compliance.	(+) Favorable customer satisfaction reviews and past performance feedback to support such as; Individual Letters of Appreciation.  (-) Require corrective action plans and poor performance could lead to less than satisfactory past performance and to not receiving future work (exercise of options).
Task 3: The Contractor shall provide enterprise analysis to ensure consistency in documentation and presentation across projects. (see PWS para 4.2.3)	All contractor conclusions / recommendations are supported by thorough analysis, and are complete, comprehensive and suitable to support government decision making needs.	95% of recommended resolutions / advice / conclusions are consistent and compliant with regulatory and policy guidance. No investment decision during the performance period was delayed, deferred, or otherwise impacted	Monthly reviews to verify consistency and compliance.	

		due to the lack of comprehensive supportive analysis.		
Performance Area, Task or Deliverable	Performance Standard	Acceptable Quality Level	Surveillance Method	Incentives (+ or -)
<b>Objective 2: Business Case Support (Continued)</b>				
Task 4: The Contractor shall assist Government projects in collecting project measurement and performance information (see PWS para 4.2.4).	Project measurement and performance information is complete, accurate, and suitable to support business case development.	95% of project measurement and performance information is complete, accurate, and suitable to support business case development (not withstanding project related issues).	Monthly reviews to verify completeness and accuracy.	(+) Favorable customer satisfaction reviews and past performance feedback; Individual Letters of Appreciation.  (-) Require corrective action plans and poor performance could lead to less than satisfactory past performance and to not receiving future work (exercise of options).
Performance Area, Task or Deliverable	Performance Standard	Acceptable Quality Level	Surveillance Method	Incentives (+ or -)
<b>Objective 3: Budget Formulation and Planning</b>				
Task 1: The contractor shall assist CBP's budget planning processes via CBP's BFX, and to help ensure a consistent communication across various reporting requirements.	CBP BFX information is utilized to more articulately communicate the IT budget to OIT and external stakeholders (see PWS para 4.3.1).	Briefing and presentation materials are consistent with BFX; however, enable OIT to better convey and communicate requirements funded within OIT's budget.	Review on every occurrence	(+) Favorable reviews; positive feedback from OIT management and external stakeholders, which will lead to positive points toward the Contractor's performance assessment  (-) Require corrective action plans and poor performance could lead to less than satisfactory past performance and to not receiving future work (exercise of options).

<b>Performance Area, Task or Deliverable</b>	<b>Performance Standard</b>	<b>Acceptable Quality Level</b>	<b>Surveillance Method</b>	<b>Incentives (+ or )</b>
Task 2: The Contractor shall assist with helping OIT link IT spend to operational business outcomes, to help operators understand the value of IT to their current and future missions.	Clear and articulate displays of how CBP's IT budget (within and outside of CBP) supports CBP's operational outcomes. Presentations assist with conveying purpose and intent of funding, and how it directly supports operational outcomes related to CBP's core value of securing the homeland. May take the form of internal OIT briefs, presentations for CBP leadership (see PWS para 4.3.2).	Information is accurate; display is easy to comprehend including mixed use of charts and narrative.	Regular reviews and meetings	(+) Favorable reviews; positive feedback from OIT management and external stakeholders, which will lead to positive points toward the Contractor's performance assessment  (-) Require corrective action plans and poor performance could lead to less than satisfactory past performance and to not receiving future work (exercise of options).

<p>Task 3: The Contractor shall work with OIT FMD and all OIT offices to enhance current budget planning and formulation efforts. Identify and institutionalize best practices for IT budget planning. The Contractor shall assist OIT in defining a recurring process to build and track budget planning efforts to bring greater visibility to baseline changes as systems, applications, and hardware are modernized/transformed to meet future business needs – in a manner that is consistent with CBP's BFX and line of business structure.</p>	<p>Implement recurring best practice to build and track budget planning efforts to bring greater visibility to baseline changes as systems, applications, and hardware are modernized/transformed to meet future business needs – in a manner that is consistent with CBP's BFX and line of business structure.</p>	<p>Processes are easy to use, easily adapted from one year to the other, and bring add value to OIT planning, execution, and reporting.</p>	<p>Regular reviews and meetings</p>	<p>(+) Favorable reviews; positive feedback from OIT management and external stakeholders, which will lead to positive points toward the Contractor's performance assessment</p> <p>(-) Require corrective action plans and poor performance could lead to less than satisfactory past performance and to not receiving future work (exercise of options).</p>
<p>Task 4: The Contractor shall continue to help OIT tie funding to operational outcomes, and to identify areas where CBP may achieve savings. Through assistance with IT budget planning, the Contractor shall help to identify and make recommendations to OIT/FMD – for presentation to OIT leadership - on</p>	<p>Identify methods/processes through which OIT can better identify and make budget trade-off decisions for consideration and decision by OIT leadership on where there may be opportunities for savings based on industry best practices.</p>	<p>Information is accurate; display is easy to comprehend, including mixed use of charts and narratives.</p>	<p>Regular reviews and meetings</p>	<p>(+) Favorable reviews; positive feedback from OIT management and external stakeholders, which will lead to positive points toward the Contractor's performance assessment</p> <p>(-) Require corrective action plans and poor performance could lead to less than satisfactory past performance and to</p>

where there may be opportunities for savings based on industry best practices.				not receiving future work (exercise of options).
--	--	--	--	--



**Addendum B: Acronym List**

**ARP:** Acquisition Review Process  
**CBP:** U.S. Customs and Border Protection  
**CO:** Contracting Officer  
**COR:** Contracting Officer's Representative  
**COTR:** Contracting Officer's Technical Representative (replaced by COR)  
**CPIC:** Capital Planning & Investment Control  
**DHS:** Department of Homeland Security  
**EARB:** Enterprise Architecture Review Board (CBP)  
**FISMA:** Federal Information Security Management Act  
**FYHSP:** Future Years Homeland Security Program  
**IMS:** Investment Management System (DHS)  
**IRB:** Investment Review Board  
**IT:** Information Technology  
**JRC:** Joint Requirements Council (DHS)  
**MNS:** Mission Need Statement (CBP)  
**NDC:** National Data Center (CBP)  
**nPRS:** Next Generation Periodic Reporting System (DHS)  
**OCI:** Organizational Conflict of Interest  
**OA:** Office of Administration  
**OIT:** Office of Information and Technology (CBP)  
**OMB:** Office of Management and Budget  
**OPD:** Office of Program Development  
**PDM/IM:** Program Data Module/Investment Module  
**PLP:** Program Lifecycle Process  
**PWS:** Performance Work Statement  
**PRS:** Performance Requirements Summary  
**RAP:** Resource Allocation Planning  
**RAD:** Resource Allocation Decision  
**SELC:** System Engineering Life Cycle  
**UII:** Unique Item Identifier